



# **PROMOTION OF ACCESS TO INFORMATION ACT (PAIA) MANUAL**

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## 1. ABOUT THIS MANUAL

If you need access to information, this manual will provide you with the necessary contact details and procedures to ask us for that information. It provides a clear overview of the structure, functions, services, and index of information we hold to help identify where the required information could be. It also provides the forms you need to complete and sets out the fees you may need to pay before assisting you. Our information officer or deputy information officer may update this manual from time to time.

You can access a copy of this manual:

- on our website [link](#) or
- request that a copy be sent to you by emailing [enquiries@compliancesa.com](mailto:enquiries@compliancesa.com) or
- at our offices located at the HUBe building, 1<sup>st</sup> floor84, Sophia Street, Fairland, Johannesburg; kindly call before coming to our offices to confirm that someone is onsite (011) 642 7974.

## 2. OUR DETAILS

The Compliance Institute Southern Africa is the recognised, independent professional body for the compliance profession and sets, maintains and promotes best practice standards for the compliance profession by facilitating professional development and accreditation for its members.

Address : the HUBe building, 1<sup>st</sup> floor84, Sophia Street, Fairland, Johannesburg, Gauteng 2146

Phone : (011) 642 7974

Website : <https://compliancesa.com/>

### 3. INFORMATION OFFICER AND DEPUTY INFORMATION OFFICER(S)

Our information officer and deputy information officer will tend to your PAIA request.

#### 3.1. Information officer

The CEO is our Information Officer.

Name and surname	Sherma Malan
Physical Address	The HUBe building, 1 <sup>st</sup> floor, 84 Sophia Street, Fairland, Johannesburg, Gauteng 2146
Phone	+27 (0) 87 114 8404 / +27 (0) 10 001 5310
E-mail	<a href="mailto:privacy@compliancesa.com">privacy@compliancesa.com</a>

### 4. THE INFORMATION AND CATEGORIES OF RECORDS WE HOLD

Here is a description of different subjects about which we have information and the categories of records we hold for each subject:

Subject	Category of records	Availability
Statutory	Annual General Meeting Records.  Board and Board subcommittee meeting information Directors personal information CIPC documents Reports to regulators such as SAQA and QCTO Memorandum of Incorporation	Available to members at meetings and on request Not available Not available Not available Not available Not available On request to Members
Education	Memorandums of Understanding with educational institutions Summative assessment records and results Skills Development Provider information CPD providers personal information CPD Training List Student personal information	Not available  Not available On website Not available On website Not available
Training	Training CPD records Trainee personal information Training programmes	Not available Not available On website

Subject	Category of records	Availability
Events	Participant personal information Event details Event CPD records	Not available On website Not available
Professional ism	Designation applicant personal information Exam Exam Exemplar questions Billing Details, Attendance registers, CPD certificates Portfolio of Evidence Designation Certificate Mentorship Framework Mentorship plan and roadmap Mentorship reporting from mentees and mentors	Record not available Not available Available to registrants Not available Not available Not available Not available Available to holder On Website Not available Not available
Service providers and prospective service providers	Application information Personal information Agreements Accounting records Product and services information	Not available Not available Not available Not available Not available
Policy and Procedures	CPD Policies Finance Policy Membership Terms and Conditions Disciplinary Policies and Procedures Membership Policies List of Internal Policies	On website On website On website On website On website On request
Client and membershi p records	Personal Information Academic Information CV and Employment information Client feedback and surveys Accounting information	Not available Not available Not available Not available Not available
Human resources	HR Policies and procedures Employee records, such as Disciplinary Records, Tax, contracts, leave, performance, etc Payroll records Sector Education and Training Authority Records Recruitment Details such as Applications, CV's, Evaluation forms & reports, etc. Conflict of Interest Declarations and Forms	Not available  Not available Not available Not available  Not available Not available
Finances	Financial statements Financial and tax records Asset register Management accounts BBBEE Affidavit Products and Services pricing Finance Calculations	On request Not available Not available Not available On request On request & on website Not available

Subject	Category of records	Availability
	Budget planning, analysis and reporting	Not available
IT, Admin & Communications	Emails & attachments	Not available
	Social Media posts	On social media
	Correspondence	Not available
	Newsletter distribution with subscribed email addresses	To recipients only
	Branding, templates and images	Not available
	Complaints & Compliments	Not available
	Complaints & Compliments Form	On website

## 5. PROTECTION OF PERSONAL INFORMATION

Our company uses personal information to deliver our services and ensure our operations run smoothly. You can find more information about how we use personal information in our privacy notices available on our website <https://compliancesa.com/policies>.

Our privacy notices cover:

1. Members and Clients
2. Directors

### 5.1. Categories of data subjects, categories of information, and the purposes for which information is collected and used

Here is a description of the categories of data subjects whose information we collect and the categories of information we collect and use.

Categories of data subjects	Categories of information we collect and use	Why we collect and use the information
Employees and prospective employees	Personal, work, banking, tax, photographs	Employment due diligence and onboarding processes, processing of payments
Clients and members	Personal or company information, banking, employment, race, academic, attendance	Deliver products and services, BBBEE rating, reporting for SAQA designations Processing of event registrations & attendance certificates
Board members	Personal, work, banking, tax, photographs	Governance & BBBEE rating
Vendors, Service Providers and Volunteers	Personal or company information, banking, tax compliance, certifications, photographs & Bios	Due diligence & Transactional purposes for the receipt of services Also for marketing and advertising (where necessary)

## 5.2. Who receives personal information

We share personal information with:

Category of personal information	Recipients or categories of recipients
Members' Identity numbers and names for criminal checks	Verification agencies
Employee Name, ID, vehicle details	Landlord for access
Member and client contact details	Bulk email provider, CRM provider, CPD system provider, auditors
Conference & special event registrants name and email	IFCA and event organisers, event system providers, auditors
Mentee application form, CV	Mentor
Board Nominees CV	Members, for board election
Exam applications and papers	Exam assessors and moderators
Employees Info	SARS, Dept of Labour, auditors
Examinee information & results	QCTO
Designation holders' personal information	SAQA

## 5.3. Cross-border flows of information

We may share personal information with parties that are outside the borders of South Africa:

- CRM provider
- Bulk Mail provider
- international examination bodies
- international conference providers,
- when a person uses PrivySeal for live electronic confirmation of a members' professional designation status
- cloud services provider

## 5.4. Information security measures

We have implemented appropriate, reasonable, technical, and organisational measures to secure the integrity, availability and confidentiality of personal information.

## 6. RECORDS THAT ARE AUTOMATICALLY AVAILABLE

The following categories of records are automatically available:



Category of records	Types of records	Available on our website	Available on request
Marketing and promotional information	Brochures, pricing, training outlines, event information, Bios of training/event facilitators	Yes	
Membership benefits	Benefit information & terms and conditions of membership	Yes	
Financial terms and conditions	Terms and conditions, cancellation policies	Yes	
Member policies	Disciplinary, appeals, CPD, terms of use of Designation	Yes	
Committees	Terms of Reference		Yes
Company information	Contact details, photographs of Staff	Yes	
Company Information	Directors' names and photographs	Yes	
Letters of Good standing, SARS, BBBEE	Company registration and related documents		Yes
Financial Reporting	Audited Financial Statements		Yes

## 7. RECORDS AVAILABLE IN TERMS OF OTHER LEGISLATION

We are required to keep certain records in terms of the legislation below:

Name of legislation	Description of records available
Income Tax Act 58 of 1962	Tax clearance certificate, tax return, PAYE records, IRP5s of employees
Value Added Tax Act No. 89 of 1991	tax invoices, debit notes, credit notes, bank statements, deposit slips, stock lists and paid cheques which backup VAT calculations
Companies Act 71 of 2008	copy of Memorandum of Incorporation, record of directors, copies of reports presented at annual general meetings, annual financial statements, copies of accounting records in an official language; notices and minutes of all shareholder meetings including resolutions, copies of any written communications to holders of any class of securities and minutes of all meetings and resolutions of directors, directors' committees, or audit committee
Employment Equity Act 55 of 1998	employment equity plans, employment equity declarations made by each employee in terms of Department of Labour Form EEA1
Labour Relations Act 66 of 1995	collective agreements, arbitration awards and other determinations made in relation to employee terms

Name of legislation	Description of records available
Immigration Act 13 of 2002	copies of passports, work permits/VISAs, records relating to the termination of employment of a foreigner and any breach of the foreigner's status
Promotion of Access to Information Act 2 of 2000	PAIA Manual
SAQA, NQF Act 67 of 2008 QCTO and SETA SLA's	Professional body recognition certification and supporting documentation as it relates to company information, directors and members.  Designations: Designation holder's personal, demographic, disability, and academic records. Exam paper & results packs, NLRD records and annual reporting, CPD compliance records, Disciplinary action records.  CPD recognition register & applications.  CPD certificates and attendance registers.  Disciplinary Action proceedings & outcomes.
	Examinees' personal, employment, and academic information. Exam paper & results packs.  Assessment Centre reporting.
POPIA, Act 4 of 2013	Personal information, banking information, employment and academic information, event & training registrations,
OHS Act 85 of 1993	CEO OHS policy statement, OHS policy and procedures, OHS training and incident registers, emergency contact details of employees

We will only make these records available to individuals or entities authorised to request access to these records in terms of the particular legislation. Any other persons must follow the request for access of records procedure as outlined in this manual.

## 8. HOW TO MAKE AN ACCESS REQUEST

The Information Regulator has published a guide that introduces PAIA and describes how to request access to information. It explains when an access request may be refused and offers key references and resources. The guide is available in each official language and braille and is intended to assist requestors in exercising their rights to access information.

The guide can be accessed from the website of the Information Regulator (<https://www.justice.gov.za/inforeg/>).

To make an access request, the requestor, must use [Form 2 of Annexure A](#) of the Promotion of Access to Information Act Regulations, 2021. Requestors can access these Regulations from the website of the Information Regulator using this link [InfoRegSA-PAIA-Form02-Reg7.pdf](#).

## **9. OUTCOME OF YOUR ACCESS REQUEST AND FEES PAYABLE**

Within 30 days after receiving an access request, CISA will decide whether to approve or deny the access request. CISA will notify the requestor of its decision and explain why the request was approved or denied.

If an access request has been approved, CISA will let the requestor know the related fees and how it should be paid. Requestors may need to pay a deposit before CISA process the access request.

Read more about the fees payable in relation to access requests in Annexure B of the Promotion of Access to Information Act Regulations, 2021. These Regulations can be accessed from the website of the Information Regulator.

If large quantities of information are requested or if CISA cannot reasonably obtain the information requested within the original 30 days, CISA may extend the period by another 30 days. CISA will notify the requestor in writing if we require an extension.

If you do not hear from CISA, within the 30 days stipulated above, it means that we have denied your access request in terms of section 58 of PAIA.

## **10. REASONS WHY CISA MAY REFUSE A PAIA REQUEST**

The Guide to understanding PAIA, available at (<https://www.justice.gov.za/inforeg/>), sets out all the reasons why an entity may or must refuse a PAIA request. These reasons include refusal based on the grounds that the information requested will:

- compromise South Africa's defence, security and international relations;
- hamper the operations of the Compliance Institute Southern Africa;
- be unreasonably time consuming and lead to a waste of resources; or
- is manifestly frivolous or vexatious.

## **11. IF CISA CANNOT FIND A RECORD**

CISA will notify the requestor with an affidavit explaining the measures it has taken to locate the record if there are records that cannot be found, despite a reasonable and diligent search. If CISA finds the records after issuing such an affidavit, they will grant the requestor access to the records unless they have a reason to refuse the request.